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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.	
10/611,684	07/01/2003	Kazuyuki Hayamizu	15115.081001	5327	
7590 03/23/2005			EXAM	EXAMINER	
Jonathan P. Osha		PETKOVSEK, DANIEL J			
Osha & May L.	L. P.	•			
Suite 2800			ART UNIT	PAPER NUMBER	
1221 McKinney St.			2874		
Houston, TX	77010		DATE MAILED: 03/23/2005	DATE MAILED: 03/23/2005	

Please find below and/or attached an Office communication concerning this application or proceeding.

Application No.   Application No.   Application No.   Application No.   Application No.   Application No.   HAYAMIZU ET AL.   Examiner   Daniel J. Petkovsek   Daniel J. Petkovsko   Daniel J. Petkovsko   Daniel J. Petkov			HiA				
Examiner Daniel J. Petkovsek 2874  - The MAILING DATE of this communication appears on the cover sheet with the correspondence address Period for Reply  A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.  □ Enterior of time may be available under the pensions of 31°C R1. 13(b). In no event, however, may a reply be limby filled □ If the period for reply is appelled above, the manilums disturber preliable with the tendency of the period of		Application No.	Applicant(s)				
Daniel J. Petkovsek  Daniel J. Petkovsek  2874  Period for Reply  A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.  A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.  If the period for reply specified shows is lasts than thirty (30 days, are party vithin the standary minimum of hitry (30 days will be considered limity).  If the period for reply specified shows is lasts than thirty (30 days, are party vithin the standary minimum of hitry (30 days will be considered limity).  If the period for reply specified shows is less than thirty (30 days, are party vithin the standary minimum of hitry (30 days will be considered limity).  If the period for reply specified shows is less than thirty (30 days, are party vithin the standary minimum of hitry (30 days will be considered limity).  Any reply recibined by the Office lited rhan three months after the mailing date of this communication, even if timely filed, may reduce any search party reply recibined by the Office lited rhan three months after the mailing date of this communication, even if timely filed, may reduce any search party reply recibined by the Office lited rhan three months after the mailing date of this communication, even if timely filed, may reduce any search party reply recibined by the Office lited his.  Any reply recibined by the Office lited rhan three months after the mailing date of this communication, even if timely filed, may reduce any search party reply recibined by the Communication.  Status    Name		10/611,684	HAYAMIZU ET AL.				
Period for Reply  A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.  Edutations of time may be available under the provisions of 37 CPR 1.13(g). In no event, however, may a reply be timely filed  Edutations of time may be available under the provisions of 37 CPR 1.13(g). In no event, however, may a reply be timely filed  1 if the period for reply specified shove is less time hithy (30 days, a reply whith the satulatory minimum of hithiny (30) days, will be considered timely.  1 if the period for reply specified shove is less time hithy (30 days, a reply whith the satulatory minimum of hithiny (30) days, will be considered timely.  1 if the period for reply specified shove is less time hithy (30) days, a reply whith the satulatory minimum of hithiny (30) days will be considered timely.  1 if the period for reply specified shove is less time hithing the other commentation of the mailing date of this commentation.  Failure to right which the set or extended pretice for reply will be adapted.  1 if the period for reply specified shove is less time hithing the other commentation.  2 if the period for reply specified shove is less than the period of the commentation.  3 if the period for reply specified shove is less than the period of the commentation.  2 if the period for reply specified shove is less than the period of the commentation.  3 if the period for reply specified shove is less than the period of the period of the commentation.  4 if the period for reply specified shove is less than the period of the per	Office Action Summary	Examiner	Art Unit				
A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.  - Contraction of time may be available under the provisions of 37 CFR 1.75(b), in no event, however, may a reply be timely filed  - Exhaustic of time may be available under the provisions of 37 CFR 1.75(b), in no event, however, may a reply be timely filed  - Exhaustic of time may be available under the provisions of 37 CFR 1.75(b), in no event, however, may a reply be timely filed  - If No period for reply selected above, the maximum statutory particle via the provision of thing (30) days will be considered timely.  - If No period for reply selected above, the maximum statutory particle via apply and via despire Stx (6) MONTH's from the mailing date of this communication.  - If No period for reply selected and the inharches marked and the communication, the provision of the communication of the communication of the communication of the communication of the mailing date of the communication, which is a communication of the mailing date of the communication, which is a communication of the comm		Daniel J. Petkovsek	2874				
THE MAILING DATE OF THIS COMMUNICATION.  Extension of time may be variable under the provisions of 30° ER 1.315(g). In an event, however, may a reply be timely filed after 3X (9) MCNT155 from the mailing date of this communication. Part of the provision of the	The MAILING DATE of this communication appeariod for Reply	pears on the cover sheet with the c	orrespondence address				
1) ⊠ Responsive to communication(s) filed on <u>IDS filed September 9, 2003.</u> 2a) ☐ This action is FINAL. 2b) ☑ This action is non-final.  3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under <i>Ex parte Quayle</i> , 1935 C.D. 11, 453 O.G. 213.  Disposition of Claims  4) ☑ Claim(s) <u>1-33</u> is/are pending in the application. 4a) Of the above claim(s) is/are withdrawn from consideration. 5) ☐ Claim(s) <u>1, 2, 5-9, 11-14, 17-19, 21-23, 26-30, and 32-33</u> is/are rejected. 7) ☑ Claim(s) <u>3, 4.10.15.16.20.24.25 and 31</u> is/are objected to. 8) ☐ Claim(s) are subject to restriction and/or election requirement.  Application Papers  9) ☐ The specification is objected to by the Examiner. 10) ☒ The drawing(s) filed on <u>July 1, 2003</u> is/are: a) ☐ accepted or b) ☒ objected to by the Examiner. Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a). Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d). 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.  Priority under 35 U.S.C. § 119  12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f). a) ☒ All b) ☐ Some * c) ☐ None of: 1. ☒ Certified copies of the priority documents have been received in Application No 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).  * See the attached detailed Office action for a list of the certified copies not received.  Attachment(s)  1) ☒ Notice of References Cited (PTO-892)  3) ☒ Informal Disclosure Statement(s) (PTO-1449 or PTO/S800)  5) ☐ Notice of Indrarga Patent Drawing Review (PTO-948)  5) ☐ Notice of Indrarga Patent Drawing Review (PTO-948)  5) ☐ Notice of Indrarga Patent Drawing Review (PTO-948)	THE MAILING DATE OF THIS COMMUNICATION.  - Extensions of time may be available under the provisions of 37 CFR 1. after SIX (6) MONTHS from the mailing date of this communication.  - If the period for reply specified above is less than thirty (30) days, a replif of NO period for reply secified above, the maximum statutory period.  - Failure to reply within the set or extended period for reply will, by statuth Any reply received by the Office later than three months after the mailing.	136(a). In no event, however, may a reply be tin ly within the statutory minimum of thirty (30) day will apply and will expire SIX (6) MONTHS from e, cause the application to become ABANDONE	nely filed s will be considered timely. the mailing date of this communication. D (35 U.S.C. § 133).				
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12)   Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  a)	11) The oath or declaration is objected to by the E	examiner. Note the attached Office	Action or form PTO-152.				
a) ⊠ All b) ☐ Some * c) ☐ None of:  1. ☑ Certified copies of the priority documents have been received.  2. ☐ Certified copies of the priority documents have been received in Application No  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).  * See the attached detailed Office action for a list of the certified copies not received.  Attachment(s)  1) ☒ Notice of References Cited (PTO-892)  2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)  3) ☒ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)	Priority under 35 U.S.C. § 119						
3. Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).  * See the attached detailed Office action for a list of the certified copies not received.  Attachment(s)  1) Notice of References Cited (PTO-892) 2) Notice of Draftsperson's Patent Drawing Review (PTO-948) 3) Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  1 Notice of Informal Patent Application (PTO-152)	a)⊠ All b)□ Some * c)□ None of:		)-(d) or (f).				
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	3) A Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08	5) Notice of Informal F					

## DETAILED ACTION

This office action is in response to the pre amendment of the claims, filed July 1, 2003. In accordance, claims 1-33 are pending (claims 1, 2, 6, and 7 independent).

#### **Priority**

1. Receipt is acknowledged of papers submitted under 35 U.S.C. 119(a)-(d), which papers have been placed of record in the file.

#### Information Disclosure Statement

2. The prior art documents submitted by Applicant in the Information Disclosure Statements filed on September 29, 2003, have been considered and made of record (note attached copy of forms PTO-1449).

#### Claim Objections

- Claims 12-14, and 23-33 are objected to under 37 CFR 1.75(c), as being of improper dependent form for failing to further limit the subject matter of a previous claim. See MPEP 608.01 (n), Section III (Infringement Test). Applicant is required to cancel the claims, or amend the claims to place the claims in proper dependent form, or rewrite the claims in independent form. Since these device claims are only limited by the structure of the independent method claim, these dependent claims are construed as having a broader scope than their respective independent claim. These device claims (12-14, and 23-33) can be realized by other methods that may have different structure.
- 4. It is also requested, for ease of prosecution, that in a response the Applicant renumber the claims (cancel all claims and re-number from 34-66). In this ordering, it is requested that all dependent claims directly follow the claim that they are dependent upon. For example, claims

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1, 3, 4, 5, 11-14, 24-26, 32, and 33 should be renumbered "34-46". Appropriate correction is required.

#### **Drawings**

The drawings are objected to because figures 1 and 2 are not labeled "Prior Art".

Corrected drawing sheets in compliance with 37 CFR 1.121(d) are required in reply to the Office action to avoid abandonment of the application. Any amended replacement drawing sheet should include all of the figures appearing on the immediate prior version of the sheet, even if only one figure is being amended. The figure or figure number of an amended drawing should not be labeled as "amended." If a drawing figure is to be canceled, the appropriate figure must be removed from the replacement sheet, and where necessary, the remaining figures must be renumbered and appropriate changes made to the brief description of the several views of the drawings for consistency. Additional replacement sheets may be necessary to show the renumbering of the remaining figures. Each drawing sheet submitted after the filing date of an application must be labeled in the top margin as either "Replacement Sheet" or "New Sheet" pursuant to 37 CFR 1.121(d). If the changes are not accepted by the examiner, the applicant will be notified and informed of any required corrective action in the next Office action. The objection to the drawings will not be held in abeyance.

#### Claim Rejections - 35 USC § 102

6. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless -

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an

international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

Claims 1, 2, 5-9, 11-14, 17-19, 21-23, 26-30, 32, and 33 are rejected under 35
 U.S.C. 102(e) as being anticipated by Okubora et al. US 2004/0047539 A1.

Okubora et al. US 2004/0047539 A1 teaches (see Figs. 8A, 9A, 11A, 13-15, 18, [0141], [0155], [0156]) a method of manufacturing an optical waveguide device, comprising the steps of: bonding a first substrate having an optical waveguide region 11 to a second substrate (IOB 2 (by bonding layer 6)) having a functional region over almost a whole surface, wherein the waveguide region has a core 54 and cladding 55, opposing at least part of the functional region to the outside of the optical waveguide region of the first substrate, and removing an unnecessary part (see Figure 14, [0156]) of the first substrate opposite to the functional region, which clearly, fully meets Applicant's *claimed* limitations (independent claims 1 and 6).

Regarding claim 2, the selective removal of some of the first substrate creates separate/individual optical waveguides.

Regarding claim 7, the removal of unnecessary parts in Okubora et al. '539 also removes optical substrate of the first substrate.

Regarding claims 5 and 17, see the last sentence of [0156] for dicing means to remove the unnecessary part.

Regarding claims 11, 21, and 22, glass epoxy resin (for bonding layer 6) has *almost* the same refractive index as the cladding. The refractive indices will be almost the same.

Regarding claims 8 and 18, peeling off layer 91 is disclosed.

Regarding claims 9 and 19, see [0140] for the pressure applied to shape the waveguide region using film.

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Regarding claims 12-14, 23, 26-30 and 32-33, the device waveguide is disclosed by the manufacturing method.

### Allowable Subject Matter

8. Claims 3, 4, 10, 15, 16, and 20 are objected to as being dependent upon a rejected base claim, but would be allowable if rewritten in independent form including all of the limitations of the base claim and any intervening claims. The prior art of record does not teach or reasonably suggest that the *unnecessary parts are removed by* the uncured layers or layers having low adhesive properties (claims 3, 4, 15, and 16). The prior art of record does not teach or reasonably suggest that that, in the groove formed by the removal of the unnecessary material, that a filter in inserted in this groove (claims 10 and 20).

#### Inventorship

9. This application currently names joint inventors. In considering patentability of the claims under 35 U.S.C. 103(a), the examiner presumes that the subject matter of the various claims was commonly owned at the time any inventions covered therein were made absent any evidence to the contrary. Applicant is advised of the obligation under 37 CFR 1.56 to point out the inventor and invention dates of each claim that was not commonly owned at the time a later invention was made in order for the examiner to consider the applicability of 35 U.S.C. 103(c) and potential 35 U.S.C. 102(e), (f) or (g) prior art under 35 U.S.C. 103(a).

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Conclusion

10. The prior art made of record and not relied upon is considered pertinent to applicant's

disclosure, with respect to the state of the art of optical integrated devices using a plurality of

substrates, and attached a waveguiding layer thereto: PTO-892 form references B-G.

Any inquiry concerning this communication or earlier communications from the

examiner should be directed to Daniel J. Petkovsek whose telephone number is (571) 272-2355.

The examiner can normally be reached on M-F 8:30-5:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's

supervisor, Rodney Bovernick can be reached on (571) 272-2344. The fax phone number for the

organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent

Application Information Retrieval (PAIR) system. Status information for published applications

may be obtained from either Private PAIR or Public PAIR. Status information for unpublished

applications is available through Private PAIR only. For more information about the PAIR

system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR

system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

March 18, 2005

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